

**COPY OF PAPERS
ORIGINALLY FILED**

Form PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT**
(Use several sheets if necessary)

Atty Docket No.: MS177851.1

Serial No.: 10/036,566

Applicant: Eric J. Horvitz, *et al.*

Filing Date: December 21, 2001

Group: 2151
2143

OIPF
MAR 05 2002
PATENT & TRADEMARK OFFICE

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AA						
AB						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation
						Yes No
AC						

OTHER ART(Including Author, Title, Date, Pertinent Pages, etc.)

AD	Carlson, J., et al., "Channel Expansion Theory and the Experiential Nature of Media Richness Perceptions", <u>Academy of Management Journal</u>, vol. 42, no. 2, April 1, 1999, p. 153-170
AE	Horvitz E. et al.: "Decision Theory in Expert Systems and Artificial Intelligence", <u>International Journal Of Approximate Reasoning</u>, July 1988, p. 1-39
AF	Horvitz E. et al.: "Attention-Sensitive Alerting", <u>Proceedings of UAI'99, Conference on Uncertainty and Artificial Intelligence</u>, July 1999, p. 305-313
EXAMINER	DATE CONSIDERED
<i>Alvin B...</i>	10/13/05

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

S:\HAMMSFT\p221usd\HSApt01449.wpd

RECEIVED

MAR 13 2002

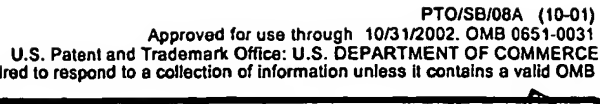
Technology Center 2100

RECEIVED

MAR 13 2002

Technology Center 2100

Best Available Copy



RECEIVED
MAY 28 2003
Technology Center 2100
IUSD

[illegible][illegible]

Examiner Signature	<i>Alvin R. Foster</i>	Date Considered	<i>10/13/05</i>
-----------------------	------------------------	--------------------	-----------------

1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08B (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete If Known			
		Application Number	10/036,566		
		Filing Date	December 21, 2001		
		First Named Inventor	Eric J. Horvitz		
		Group Art Unit	2161 2143		
		Examiner Name	Unknown		
Sheet	2	of	2	Attorney Docket Number	MS177851.1 / MSFTP221USD

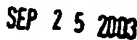
OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
ANB		KAUSHAL KURAPATI, SRINIVAS GUTTA, DAVID SCHAFFER, JACQUELYN MARTINO, and JOHN ZIMMERMAN, "A Multi-Agent TV Recorder, Adaptive Systems Department", Philips Research Briarcliff, 2001. 8 pages	/
ANB		ERIC J. HORVITZ and ADRIAN C. KLEIN, "Utility-Based Abstraction and Categorization", Palo Alto Laboratory, Rockwell International Research, 1993, 8 pages	/
ANB		ERIC J. HORVITZ, JOHN S. BREESE and MAX HENRION, "Decision Theory in Expert Systems and Artificial Intelligence", July 1988, 38 pages	/
ANB		ERIC HORVITZ, ANDY JACOBS and DAVID HOVEL, "Attention-Sensitive Alerting", Microsoft Research, July 1999, 10 pages	/
ANB		JOHN R. CARLSON and ROBERT W. ZMUD, "CHANNEL EXPANSION THEORY AND THE EXPERIENTIAL NATURE OF MEDIA RICHNESS PERCEPTIONS", Academy of Management Journal, Vol. 42, No. 2, 1999, 18 pages	/

Examiner Signature	<i>Alvin B...</i>	Date Considered	10/18/05
--------------------	-------------------	-----------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
 required to respond to a collection of information unless it contains a valid OMB

OMB Paperwork Reduction Act of 1995: no persons are required to respond to a collection of information unless it contains a valid OMB control number.

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	10/036,566
Filing Date	December 21, 2001
First Named Inventor	Eric J. Horvitz
Art Unit	2151
Examiner Name	Unknown
Attorney Docket Number	MS177851.1 / MSFET2211USD

U.S. PATENT DOCUMENTS[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Alvin R. [Signature]

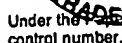
Date Considered

10/13/05

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicable to the unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**



PTO/SB/08B (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
used to respond to a collection of information unless it contains a valid OMB

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

[illegible]

Examiner Signature	<i>Alim Burt</i>	Date Considered	10/13/05
--------------------	------------------	-----------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☒ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.